

**BY ORDER OF THE COMMANDER
AIR FORCE SPACE COMMAND**



**AIR FORCE SPACE COMMAND
HEADQUARTERS OPERATING
INSTRUCTION 63-105**

1 MAY 2006

Acquisition

**MANAGEMENT OF ADVISORY
AND ASSISTANCE SERVICES (A&AS)**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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This instruction implements Air Force Instruction (AFI) 63-124, *Performance-Based Service Acquisition (PBSA)*. This document identifies the HQ AFSPC responsibilities and requirements for acquiring A&AS and should be used in conjunction with the above-mentioned guidance documents. This document applies to HQ Air Force Space Command (AFSPC) at Peterson AFB. It does not apply to subordinate AFSPC wings and centers, Federally Funded Research and Development Center (FFRDC) support, Air Force Reserve Command or Air National Guard units. Maintain and dispose of records created as a result of prescribed processes in accordance with Air Force Records Disposition Schedule (RDS) which may be found on-line at <https://afrims.amc.af.mil/>.

NOTE: The definition, interpretation and management of A&AS are discussed at length in numerous Government publications. These documents include, but are not limited to, Public Laws (e.g., 31 United States Code (USC) 1105, 10 USC 2212, 41 USC 419, 10 USC 2410L), Office of Federal Procurement Policy (OFPP) letters, *A Guide to Best Practices for Performance Based Service Contracting* dated Oct 1998, OMB Policy Letter 92-1, *Inherently Governmental Functions*, *Office of Management and Budget (OMB) circulars A-11, Preparation Submission and Execution of the Budget* and A-76, *Performance of Commercial Activities*, the *Federal Acquisition Regulation (FAR)*, *Air Force Federal Acquisition Regulation Supplement (AFFARS)*, Department of Defense Directive 4205.2, *Acquiring and Managing Contracted Advisory and Assistance Services (CAAS)*, DoDD 7000.14-R, *Department of Defense Financial Management Regulations (FMR)*, AFI 16-201, *Air Force Foreign Disclosure and Technology Transfer Program*, AFI 63-401, *Contracted Advisory and Assistance Services*, AFI 65-601 Vol.1, *Budget Guidance and Procedure* and Air Force Publication Directive (AFPD) 63-4, *Contracted Advisory and Assistance Services*. Collectively, these documents provide a lengthy, complex and ever-changing legal, policy and implementation description. This HOI can only provide the brief details of the HQ AFSPC implementation of A&AS. A nondirective AFSPC A&AS guide is available from AFSPC/A7Z as an informational companion piece to this HOI. The A&AS guide is a living document intended to provide an extensive and detailed compilation of reference material, including the basis in Public Law for A&AS definition and statutory guidance, summarization of Federal and Air Force policy, “how to” suggestions, templates and best practices.

1. Overarching Policy. All HQ AFSPC Advisory and Assistance Services (A&AS) shall be acquired via the Contract Advisory and Assistance Services, Engineering and Technical Assistance (CAASETA) Program Management Office (PMO), HQ AFSPC/A7Z, using the CAASETA contract. Exceptions to this policy require AFSPC/CV approval.

2. Background:

2.1. **A&AS Clarification.** General A&AS definitions and exemptions are provided below to present a context for this HOI. Contracted support is assumed to be A&AS until A7Z and 21st Contracting Squadron can be consulted to provide counsel regarding applicability of this HOI and the CAASETA contract.

2.1.1. Simple definition: A&AS includes services acquired by contract from non-governmental sources to support or improve organization policy development, decision making, management and administration, support program and/or project management and administration; provide management and support services for research and development (R&D) activities; provide engineering and technical support services; or improve the effectiveness of management processes or procedures. Such services may take the form of information, advice, opinions, alternatives, analyses, evaluations, recommendations, training, and technical support. (Referenced from AF A&AS Policy Memo dated 23 July 2001).

2.1.2. The vast majority of contracted services in support of HQ AFSPC are A&AS, and it is the intent of the commander that all such support is procured through CAASETA. All contracts will be reviewed for A&AS applicability and transition to CAASETA regardless of any remaining contract option years. Requests for exemption must be signed at the respective directorate level then routed thru the CAASETA PMO for coordination and staffing to AFSPC/CV who is the approval authority, with the exceptions below. Authority to grant exemption for the following types of contracts is vested with the Director of Installations and Mission Support via the CAASETA PMO.

2.1.2.1. Special Access Programs and Special Access Required (SAP/SAR).

2.1.2.1.1. For SAP/SAR requirements the Requiring Activity's Director will submit their request directly to the Director of Installations and Mission Support for review and approval/disapproval. The approved/disapproved memo will then be forwarded to the CAASETA PMO.

2.1.2.2. Architectural and engineering services (A&E) are exempted from the definition of A&AS (see FAR Subpart 37.202). AFSPC A&E services are often acquired from the Air Force Center for Environmental Excellence (AFCEE) or the Air Force Civil Engineering Support Agency (AFCESA).

2.1.2.3. Contracted support for ICBM mission operations, development, or sustainment acquired via the ICBM Prime Integration Contract (IPIC) through Ogden Air Logistics Center is exempt, since it is considered a performing/implementing function and not management assistance. Note, however, A&AS performed at HQ AFSPC that are discrete and separable from the other IPIC functions are not exempt and will be acquired with the CAASETA contract.

2.1.3. In addition, the Director of Installations and Mission Support (A7) has the authority to grant extensions for non-severable contracts determined on a case-by-case basis. Such extensions

should be extremely rare and must be strongly justified by the respective Director. Route all extension requests through the CAASETA PMO who will in-turn coordinate the request and advise the Director of Installations and Mission Support on approval or disapproval.

2.1.3.1. The following information should be provided with each exemption and extension request:

2.1.3.1.1. Contract Name and Number. If new, then use the tracking number provided by the PMO;

2.1.3.1.2. Contract Line Item Number (CLIN), if applicable;

2.1.3.1.3. Contract expiration date or end of period of performance;

2.1.3.1.4. Duration of time for requested extension, if applicable;

2.1.3.1.5. Estimated amount of the contract;

2.1.3.1.6. Any extraordinary requirements;

2.1.3.1.7. Director's justification for the exemption/extension (mission impact/risk-to-mission).

2.1.4. Three reporting categories of A&AS are defined in Public Law, implemented by FAR Subpart 37.2 and referenced in AF A&AS Policy Memo dated 23 July 2001. These categories define the standard reporting classes in the President's Budget Exhibit #15 report (PB-15) and the DoD accounting system. A complete definition and interpretation is available from A7Z. The A&AS reporting categories and HQ AFSPC element of expense and investment codes (EEIC) are as follows:

2.1.4.1. Management and Professional Support Services (MPS) – 592CH;

2.1.4.2. Studies, Analysis, and Evaluations (SAE) – 592BA;

2.1.4.3. Engineering and Technical Services (ETS) – 592JB.

2.2. The CAASETA PMO is a multi-functional office that provides the following services for HQ AFSPC A&AS:

2.2.1. Centralized management, including policy development, process definition, template development, training, program evaluation and maintenance of the master task order schedule.

2.2.2. Ensures task order processes are implemented consistently and in compliance with Federal, DoD and AF regulations. These processes include SOW development, solicitation package preparation, proposal evaluation, Quality Assurance Evaluator (QAE) contract surveillance, financial tracking and contract performance assessment report (CPAR) accomplishment.

2.2.3. Facilitates the processes by which directorates obtain and or modify support via the CAASETA contract. This facilitation includes activities such as developing acquisition strategies; preparing purchase request packages and requests for task order proposals; and conducting task order surveillance.

2.2.4. Acts as the primary interface between customers, the Contracting Officer(s) and prime contractors on the CAASETA contract. DoD and Air Force Acquisition Regulations were changed to prohibit the acquisition of services through use of a DoD contract or task order that is not performance based or through any contract or task order that is awarded by an agency other than DoD

without the approval of the Designated Official (Defense Federal Acquisition Regulation Supplement (DFARS) 237.107/AFFARS 5337.107-3). PBSA responsibilities are outlined in AFI 63-124.

2.3. Determination/Decision Document (DDD) Definition. The DDD provides a summary of the A&AS requirement, findings of the search for organic personnel, certification statements and the appropriate approval authority. The approval authority is responsible for signing the DDD, thereby confirming all requirements, determinations and certifications are true. The contract values and associated approval values are:

2.3.1. DDDs less than \$50,000 are approved by the requiring activity;

2.3.2. DDDs between \$50,000 and \$49,999,999 are approved by the 2-Letter Director, unless the Director is an O-6 not filling a General Officer (GO) authorization, then forward to the first Senior Executive Service (SES) or GO in the reporting chain. The Director may delegate approval authority but not below the SES or (GO).

2.3.3. DDDs between \$50,000,000 and \$99,999,999 are approved by the AFSPC/CV; and

2.3.4. DDDs estimated at \$100,000,000 and greater are approved by the SAF/AQX.

3. The Source Selection Authority (SSA). The Contracting Officer (CO) is designated as the SSA for procurements less than \$10,000,000. The HQ AFSPC Director having program responsibility is the SSA for procurements \$10,000,000 and over. When the HQ AFSPC Director is not available, HQ AFSPC/A7 is the SSA for procurements \$10,000,000 and over.

4. AFSPC/CC Responsibilities/Delegations:

4.1. Responsible for overall A&AS implementation in AFSPC. HQ-level program management of A&AS is delegated to the AFSPC vice-commander (AFSPC/CV).

4.2. Responsible for implementation of PBSA IAW AFI 63-124. Execution of AFI 63-124 requirements is performed by A&AS requiring activities (i.e., directorates).

5. AFSPC/CV Responsibilities/Delegations:

5.1. Responsible for implementing policy, procedures, and oversight of all A&AS at AFSPC.

5.2. Approval authority for exemptions to the mandated use of the CAASETA contract for A&AS except as specified in **paragraph 2.1.2.**

5.3. Reviews/approves DDDs for anticipated contract values ranging from \$50,000,000 up to \$99,999,999, including consolidated DDDs.

5.4. Approval authority for all contractor use of HQ AFSPC buildings (including Government-leased space) per HQ AFSPC Contractor Occupancy Policy Memo dated 16 July 2004. Contractor occupancy within these facilities will be the exception, not the norm.

5.5. Delegates A&AS program management, except as noted above, to HQ AFSPC/A7.

6. HQ AFSPC/A7 Responsibilities:

6.1. Manages HQ-level A&AS program as described in **paragraph 2.2..**

- 6.2. Ensures HQ AFSPC A&AS policies and procedures are consistent with the FAR and DoD and Air Force Regulations.
- 6.3. Provides oversight of multi-functional teams for planning and managing the CAASETA program (ref AFI 63-124).
- 6.4. Prepares the CAASETA input to A&AS taskers, including input to AFSPC's submission of the annual PB-15 Report.
- 6.5. Submits annual stakeholders report to AFSPC/CV and senior staff.
- 6.6. Adjudicates Contractor Performance Assessment Reports (CPARS) when the contractor disagrees with the government's proposed CPAR ratings. *NOTE:* Directorates will be responsible for performing task order-level Quality Assurance Evaluator (QAE) surveillance and performance assessment, including providing annual CPARS inputs.
- 6.7. Compiles annual lessons learned as a result of A&AS inspections, audits, program management reviews and working groups.
- 6.8. Accounts for the post-award management controls and reporting requirements as outlined in the *AFSPC Management and Oversight of Acquisition of Services Process (MOASP)*, dated January 04.
- 6.9. After contract award, the CAASETA PMO will forward award information to HQ AFSPC/FM and HQ AFSPC/A8/A9 for funds and CME tracking.
- 6.10. Publish, update and implement *CAASETA User's Guide*.

7. HQ AFSPC/A1 Responsibilities. Reviews all requests for service contracts, to include modifications and terminations, to compute A&AS Contractor Man-year Equivalents (CME) and ensure the CME count in the Unit Manpower Document (UMD) is updated as the official repository of CME information (Referenced from AF A&AS Policy Memo dated 23 July 2001).

8. HQ AFSPC/A2 Responsibilities. Any tasks or subtasks requiring access to Sensitive Compartmented Information (SCI) will need a Special Security Office (SSO) addendum attached to the DD Form 254, DoD Contract Security Classification Specification, and coordination through AFSPC/A2. The template and instructions for this addendum are in the Guide to Preparing DD Form 254, Contract Security Specification, available from HQ AFSPC/A2 or 21 SFS/SFAC.

9. HQ AFSPC/FM Responsibilities:

- 9.1. Assists directorates with the generation of task order independent cost estimates (ICE). Information derived in paragraph 7. is an input to the ICE.
- 9.2. Trains directorate resource advisors on the proper conduct of the following activities:
 - 9.2.1. Using only the AFSPC allowable accounting codes for A&AS.
 - 9.2.2. Identifying the proper A&AS category in all A&AS funding documents.
 - 9.2.3. Tracking A&AS commitments, obligations and expenditures in the accounting system.

10. 21st CONS/LGCCB Responsibilities:

- 10.1. Perform Contracting Officer (CO) functions as covered in the FAR and applicable supplements.
- 10.2. Initiate CPARS record and provide input as Assessing Official Representative (AOR).
- 10.3. Provide Phase 2 Training to Primary and Alternate Quality Assurance Evaluators (QAEs) prior to QAE assuming surveillance duties on a task order.
- 10.4. Appoint Primary and Alternate QAEs and delegate responsibilities in writing.

11. Requiring Activity (Directorate) Responsibilities:

11.1. Coordinate with HQ AFSPC/A7Z prior to initiating activities for contracting for HQ AFSPC staff support to discuss task order requirement(s) or need(s).

11.1.1. Support HQ AFSPC/A7Z in the preparation of the annual A&AS stakeholders report.

11.1.2. Ensure personnel within the directorate comply with exclusion of inherently governmental functions and personal services, as applied to A&AS, per FAR Subparts 7.5 and 37.104.

11.1.3. Prepare task order requirements packages, evaluate proposals and provide the technical evaluation recommendation.

11.1.4. Submit requests for additional contractor occupied HQ AFSPC (Bldg 1) office space to HQ AFSPC/CV. Directors may maintain the same number of A&AS on-site contractor personnel as they have currently, and may not increase their contractor cadre within Bldg 1 without HQ AFSPC/CV approval. Appoint CAASETA task order Quality Assurance Evaluators (QAEs) (Ref AFI 63-124).

11.1.5. Advise the CAASETA program office of Foreign National (FN) involvement. Ensure compliance with AFI 16-201, *Air Force Foreign Disclosure and Technology Transfer Program*.

11.2. Directorate DDD Processing:

11.2.1. AFSPC Division Chiefs or 3-letters review/approve DDDs for anticipated contract values less than \$50,000. The Director (General Officer (GO) or O-6 filling a GO billet or SES) reviews/approves DDDs with an anticipated value of \$50,000 to \$49,999,999.

11.2.2. Complete the DDD, including all coordination in sequential order starting with the Requiring Activity, FM, AIM and the 2-Letter Directorate, in conjunction with developing the request for task order proposal. A consolidated DDD (e.g., forecasting all functional expertise needed for a 12 month period) may be prepared and processed to satisfy this requirement for all task orders for a specified period.

11.3. Directorate Financial Reporting:

11.3.1. Respond to A&AS data calls.

11.4. Directorate Surveillance Activities:

11.4.1. Assign qualified personnel as Primary and Alternate QAEs for each CAASETA task order. Ensure QAEs complete quality assurance evaluator training (Phase 1 Training).

11.4.2. Ensure the other duties of the QAE do not conflict with those outlined in the QAE appointment letter and surveillance plan.

11.4.3. Develop/Implement a performance plan for each task order IAW AFI 63-124 to specify the surveillance methods, documents surveillance observations and provides periodic surveillance reports into the surveillance folder for the life of the task order.

11.4.4. Complete annual CPARS entries on each CAASETA task order.

11.4.5. Promptly bring CAASETA contract execution issues to the attention of A7Z as necessary to enable quick resolution.

12. Forms Adopted:

12.1. DD Form 254, **Department of Defense Contract Security Classification Specification**

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Director of Installations and Mission Support

Attachment 1**GLOSSARY OF REFERENCES*****References***

OMB Policy Letter 92-1, *Inherently Governmental Functions*

Office of Management and Budget (OMB) Circular A-11, *Preparation, Submission and Execution of the Budget*

Office of Federal Procurement Policy (OFFP) letters, *A Guide to Best Practices for Performance Based Contracting*

DoD Directive 4205.2, *Acquiring and managing Contracted Advisory and Assistance Services (CAAS)*

DoD Directive 7000.14-R, *Department of Defense Financial Management Regulations (FMR)*

AFI 16-201, *Air Force Foreign Disclosure and Technology Transfer Program*

AFI 63-401, *Contracted Advisory and Assistance Services*

AFI 65-601, Vol 1, *Budget Guidance and Procedure*

Air Force Policy Directive (AFPD) 63-4, *Contracted Advisory and Assistance Services*